

## AY2020 Plan for Preventing the Misuse of Public Research Funds

I. Report Item	Review of the AY2019 Plan for Preventing the Misuse of Public Research Funds and details of the AY2020 plan
II. Budgetary Measures	None
III. Term	AY2020
IV. Office in Charge	Research Office and Administration Office (i.e., the office in charge of the Plan for Preventing the Misuse of Public Research Funds)
V. Details	Please refer to the remainder of the document and the attached plan

### 1. Review of Initiatives in AY2019

The AY2019 Plan for Preventing the Misuse of Public Research Funds was formulated in accordance with the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds in light of MEXT's revised "Guidelines on the Management and Auditing of Public Research Funds at Research Institutions".

Under the current system, the Research Office handles the administration of public research funds, while the Administration Office regularly inspects the execution of budgets (including the management of Creotech). In addition, at the Trust level, the Office of Inspections and Auditing handles auditing.

In AY2019, an internal audit was conducted under this framework, and it revealed no items suspected of improper or inappropriate budget execution. Therefore, we can state that measures were more or less executed according to the Plan.

### 2. Formulation of the AY2020 Plan for Preventing the Misuse of Public Research Funds

As with AY2019, we used MEXT's revised guidelines as the basis for the formulation of this year's Plan and we adjusted the tone of the document to match that of the Ritsumeikan University Plan for Preventing the Misuse of Public Research Funds. With regard to the inspection framework, the Research Office will remain the primary contact point, while the Administration Office and the Office of Inspections and Auditing will continue working together to provide auditing functionality.

The basic frames of the plan are unchangeable, but we mainly wrestle for Section 4 "Proper

operation and management of research funds".

3. Status of Initiatives in AY2019 and the AY2020 Plan

Please see the attached document for a detailed status of last year's initiatives and this year's plan.

# Attachment

## Ritsumeikan Asia Pacific University Plan for Preventing the Misuse of Public Research Funds: Status of Initiatives in AY2019 and AY2020 Plan

### Section 1: Clarification of accountability within the institution

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
1-1	The institution will designate an individual to hold ultimate responsibility for institution-wide oversight and the administration and management of competitive research funds (hereinafter, "chief administrative officer"), and his or her title shall be publicly released. As a rule, the head of the institution shall assume the role of chief administrative officer.	At APU the President will assume the post of chief administrative officer, and a Vice President nominated by the President will assume the post of general supervisor in charge of research. Furthermore, (1) the Dean of International Cooperation and Research and (2) the Deans of the Colleges and the Directors of the Centers will be designated as research compliance supervisors, and all of their titles will be released publicly on the homepage, etc.	We assigned the President to the post of chief administrative officer for the university and the Vice President of Research to the post of general supervisor, and we released their titles publicly on the website. In AY2019, the administrative framework for preventing the misuse of public research funds was announced by the Research Office.	We will assign the President to the post of chief administrative officer for the university and the Vice President of Research to the post of general supervisor, and we will release their titles publicly on the website. In AY2020, the administrative framework for preventing the misuse of public research funds will be announced by the Research Office, and once again, we will ask the heads of the bodies to which researchers affiliate to assume the role of the individual responsible for educating researchers about the preventing the misuse of public research funds.
1-2	The institution will designate an individual to assist the chief administrative officer and possess de facto responsibility and authority for institution-wide oversight and the administration and management of competitive research funds (hereinafter, "general supervisor"), and his or her title will be publicly released.			
1-3	The institution will designate individuals (hereinafter, "research compliance supervisors") to possess de facto responsibility and authority for the administration and management of competitive research funds in each body within the institution (e.g., undergraduate college, affiliated research center, or other organization equipped with a certain degree of independent administrative function), and all of their titles will be publicly released.			

### Section 2: Improvement of basic infrastructure for proper operation and management

#### (1) Clarification and standardization of rules

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
2-1-1	The institution will clearly stipulate rules to make the administration and management of competitive research funds easy to understand for all constituents of the institution, and it will review these rules continuously to ensure there are no discrepancies between the rules and actual practice and to determine if a suitable framework of checks and balances is being maintained.	We will issue the AY2018 Ritsumeikan Asia Pacific University Guidelines for the Disbursement of Research Funds, and we will ensure that all researchers are aware of these Guidelines by making announcements at meetings, etc. We will also make the Guidelines publicly available on the website in addition to distributing them in booklet form. When necessary, the Research Office will organize briefings for researchers to notify them of the rules for research fund usage.	We issued the Guidelines for the Disbursement of Research Funds (for Researchers) in April 2019. We held information sessions to ensure that all researchers were made aware of the Guidelines. In addition to distributing physical copies, we will also publish the Guidelines on the website, and we will ensure staff are aware of the rules for the use of research funds by holding information sessions and workshops for staff. We will also strive to ascertain the needs of researchers regarding usage rules.	We will issue the Guidelines for the Disbursement of Research Funds in April, 2020. We will hold information sessions to ensure that researchers are made aware of the Guidelines. In addition to distributing physical copies, we will also publish the Guidelines on the website, and we will ensure staff are aware of the rules for the use of research funds by holding workshops for staff. We will also strive to ascertain the needs of researchers regarding usage rules.
2-1-2	The institution will strive to standardize its rules; however, several categories may be established after an institution-wide deliberation if there is a justifiable reason to do so, such as differences in the characteristics of research fields. With regard to the interpretation of the rules as well, the institution will strive to ensure standardized application across all divisions.			
2-1-3	The institution will employ a systematic approach to the rules as a whole, and notify all constituents about the administration and management of competitive research funds in an easy-to-understand manner.			

#### (2) Clarification of administrative authority

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
2-2-1	The institution will reach an internal consensus regarding the authority and responsibilities of constituents pertaining to the administrative procedures for competitive research funds, and it will seek the understanding of the constituents after these are clearly stipulated.	The Ritsumeikan Asia Pacific University Research Ethics Guidelines, the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the Ritsumeikan Trust Confidential Informant Claim Processing Regulations will be made publicly available on the website, and the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds will clearly define the authority and responsibilities pertaining to the administration of competitive research funds. Furthermore, the AY2018 Guidelines for the Disbursement of Research Funds will contain a section on the administrative procedures for research funds.	The Ritsumeikan Asia Pacific University Research Ethics Guidelines, the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the Ritsumeikan Trust Confidential Informant Claim Processing Regulations were made publicly available on the website, and the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds clearly defined the authority and responsibilities pertaining to the administration of competitive research funds. The AY2019 Guidelines for the Disbursement of Research Funds (for Researchers) contained a section on the administrative procedures for research funds.	The Ritsumeikan Asia Pacific University Research Ethics Guidelines, the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the Ritsumeikan Trust Confidential Informant Claim Processing Regulations will be made publicly available on the website, and the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds will clearly define the authority and responsibilities pertaining to the administration of competitive research funds.
2-2-2	The institution will appropriately define the division of duties to ensure no discrepancies emerge between the regulations on division of duties and actual practice.			
2-2-3	The institution will clarify the administrative authority of personnel involved at each step of the process.			
2-2-4	The institution will stipulate clear approval procedures that correspond to the administrative authority of the individual in question.			

**(3) Raising awareness**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
2-3-1	To ensure that all constituents involved in the administration and management of competitive research funds fully understand what kind of actions constitute misuse, the institution will provide compliance education (e.g., institution-level policies and rules to prevent misuse)	Training sessions will be held to provide faculty and staff regarding an overview of the Guidelines on the Management and Auditing of Public Research Funds at Research Institutions as well as important points that researchers and research institutions must consider and to check their understanding thereof. We will provide faculty and staff who cannot attend a training session due to unavoidable circumstances with an opportunity to view a video online, after which they must submit a written pledge to the Research Office.	We provided research ethics training to all new faculty members and new PhD students. We established a system that allows individuals to complete compliance training online. Upon completing training, their level of understanding was confirmed, and they were asked to submit a written pledge to the Research Office. (Persons required to submit pledges: New applicants and continuing recipients of public research funds (in the case of grant-in-aid, this refers to Principal Investigators and Co-Investigators) and staff involved in the administration of public research funds) We also distributed the AY2018 Guidelines for the Disbursement of Research Funds and the Research Ethics Guidelines and disclosed information on the website, thereby ensuring that individuals were made thoroughly aware of the code of conduct outlined in the Ritsumeikan Asia Pacific University Research Ethics Guidelines and the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds.	We will provide research ethics training to all new faculty members and new PhD students. We will also hold training sessions for all full-time faculty in the Faculty Discussion Meeting and other venues. We will establish a system that allows individuals to complete compliance training online. Upon completing training, their level of understanding will be confirmed, and they will be asked to submit a written pledge to the Research Office. (Persons required to submit pledges: New applicants and continuing recipients of public research funds (in the case of grant-in-aid, this refers to Principal Investigators and Co-Investigators) and staff involved in the administration of public research funds) We will also distribute the AY2020 Guidelines for the Disbursement of Research Funds and disclose information on the website, thereby ensuring that individuals are made thoroughly aware of the code of conduct outlined in the Ritsumeikan Asia Pacific University Research Ethics Guidelines and the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds.
2-3-2	When the institution holds sessions, it will check attendance and monitor the level of understanding of the participants.			
2-3-3	To raise awareness and ensure that faculty and staff understand they are obligated to comply with this information covered in these training sessions, all constituents involved in the administration and management of competitive research funds will be asked to submit a written pledge when they attend said sessions.			
2-3-4	The institution will formulate a code of conduct for all constituents involved in the administration and management of competitive research funds.			

**(4) Establishing regulations and clarifying administration pertaining to the handling of claims, investigations, and punitive measures**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
2-4-1	The institution will establish a hotline to receive claims from outside the institution (e.g., claims of suspected misuse from persons outside the institution and statements from the persons in question).	We will make the information for the hotline, including matters pertaining to confidential reporting, publicly available on the website along with the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds. If anyone is found to have engaged in misuse, in accordance with the regulations, their names and the details of the misconduct will be disclosed, and the fact that they are subject to punishment will be published on the website.	We made the information for the hotline, including matters pertaining to confidential reporting, publicly available on the website along with the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds. When anyone was found to have engaged in misuse, in accordance with the regulations, their names and the details of the misconduct were disclosed, and the fact that they were subject to punishment was published on the website.	We will make the information for the hotline, including matters pertaining to confidential reporting, publicly available on the homepage along with the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds. If anyone is found to have engaged in misuse, in accordance with the regulations, their names and the details of the misconduct will be disclosed, and the fact that they are subject to punishment will be published on the website.
2-4-2	The institution will put in place a framework to ensure that information concerning misuse is conveyed to the chief administrative officers swiftly and certainly.			
2-4-3	The institution will formulate regulations that clearly indicate a framework and procedures for the handling of misuse, including items (i) - (v) below: (i) Handling of claims; (ii) Establishment of an Investigative Committee and commencement of an investigation; (iii) Suspension of budget usage during the investigation; (iv) Announcement of findings; (v) Issuance of a report to and request for cooperation from the granting organization.			
2-4-4	The institution will create a fair and highly transparent framework for the application of regulations pertaining to the investigation of misuse.			
2-4-5	The institution will formulate regulations that clearly define the types of punitive measures and procedures required for applying them.			

**Section 3: Ascertainment of factors leading to misuse; formulation and implementation of a plan to prevent misuse**

**(1) Ascertainment of factors leading to impropriety and formulation of a plan for preventing misuse**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
3-1-1	The institution will systematically assess and evaluate factors leading to impropriety lie within the institution and how they manifest themselves. Precautions on Implementation, Item (i): Generally envisioned risks (i) Discrepancies between rules and actual practice (e.g., researchers ordering items without the authority to do so, exceptions becoming accepted practice); (ii) Lack of clarity about where responsibility lies due to complicated approval procedures; (iii) Budgets only being spent at certain times; (iv) Failure to pay vendors; (v) Divisions or labs with higher concentrations of competitive research funding; (vi) Inadequate checking of transactions (e.g., inadequate management of transaction records by the office, inadequate selection of vendors, and inadequate management of vendor information); (vii) Frequent transactions with the same vendor or for the same items; vendors that only carry out transactions for a certain lab (or labs); excess number of transactions between a certain lab (or labs) and a new vendor; (viii) Inadequate inspection of contracts for specialized services, such as the creation of databases, programs, and digital content or the maintenance and inspection of equipment; (xi) Confirmation of receipt and monitoring tasks performed in name only (e.g., “rubber stamping” with the receipt stamp, failure to confirm physical property after delivery) (x) Having the vendor take back delivered goods and/or repeatedly presenting the same goods for the confirmation of receipt upon delivery; (xi) Leaving the management of part-time employee to the labs; (xii) Inadequate procedures for checking if official trips were actually taken (e.g., checking of double payments and duties performed on site); (xii) Workplaces overly reliant on certain individuals or insular workplace environments (e.g., a concentration of accounting duties on certain individuals, the existence of individuals working for several years in the same division, an atmosphere in which employees cannot oppose their superiors) and/or research environments where regulation is difficult (e.g. labs that do their own ordering and confirmation of receipt and isolated	<b>RESEARCH OFFICE</b> The Research Office will ascertain factors leading to impropriety in handling and accounting at points of contact with researchers in routine budget execution and in the inspection of associated documents as well as provide information and hold discussions by distributing the Guidelines for the Disbursement of Research Funds or by other means.  <b>ADMINISTRATION OFFICE</b> The Administration Office will ascertain factors leading to impropriety by working with the Research Office on monitoring inspections and collecting opinions and requests when compliance education is provided.	<b>RESEARCH OFFICE</b> The Research Office ascertained factors leading to impropriety in handling and accounting at points of contact with researchers in routine budget execution and in the inspection of associated documents.  <b>ADMINISTRATION OFFICE</b> When necessary, the Administration Office ascertained factors leading to impropriety by collecting opinions and requests submitted to the Research Office.	<b>RESEARCH OFFICE</b> The Research Office will ascertain factors leading to impropriety in handling and accounting at points of contact with researchers in routine budget execution and in the inspection of associated documents. It will also hold Staff Meetings and meetings of budget supervisors and liaise with the Office of Research Planning and Development on monitoring inspections.  <b>ADMINISTRATION OFFICE</b> The Administration Office will strive to foster a culture in which misconduct does not occur by working with the Research Office on monitoring inspections and collecting opinions and requests submitted to the Research Office.
3-1-2	The institution will formulate a detailed plan to prevent misuse that addresses the factors leading to impropriety.			

**(2) Implementing the Plan for Preventing the Misuse of Public Research Funds**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
3-2-1	The institution will designate an individual or department in charge of preventing misuse on an institution-wide basis (hereinafter, “office in charge of the Plan for Preventing the Misuse of Public Research Funds”), and this office will formulate, implement, and confirm the progress of detailed measures for the institution.	The Plan for Preventing the Misuse of Public Research Funds will be finalized once it is added to the System Maintenance Self-Evaluation Checklist and confirmed.	<b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> A report on the progress of the AY2018 Plan for Preventing the Misuse of Public Research Funds was presented to the President in the University Senate Meeting, and after areas for improvement were deliberated, the AY2019 Plan was formulated.	<b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> As with last year, a report on the progress of the AY2019 Plan for Preventing the Misuse of Public Research Funds will be presented to the President in the University Senate Meeting, and after areas for improvement are deliberated, the AY2020 Plan will be formulated.
3-2-2	The institution will show both internal and external stakeholders that it is enacting measure under the leadership of the chief administrative officer, and it will strive to manage the progress of the Plan for Preventing the Misuse of Public Research Funds.			

**Section 4: Proper operation and management of research funds**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
4-1	The institution will review the status of budget execution to make sure it matches the actual situation. If budget usage is extremely behind the initial schedule, the institution will check to see if there are any problems with the implementation of the research plan, and if there are, improvements will be undertaken.	<p><b>RESEARCH OFFICE</b> The Research Office will regularly verify the status of budget execution and, if necessary, verify the progress of research plans.</p> <p><b>ADMINISTRATION OFFICE</b> The Administration Office will use monitoring inspections to verify the status of budget execution and, if necessary, it will verify the progress of research plans with the Research Office and with the researchers by way of the Research Office.</p>	<p><b>RESEARCH OFFICE</b> The Research Office regularly verified the status of budget execution and, when necessary, verified the progress of research plans.</p> <p><b>ADMINISTRATION OFFICE</b> In the second half of AY2019, the Administration Office held several monitoring inspections, and, when necessary, it verified the progress of budget execution with the Research Office and with the researchers by way of the Research Office.</p>	<p><b>RESEARCH OFFICE</b> The Research Office will regularly verify the status of budget execution and, if necessary, verify the progress of research plans.</p> <p><b>ADMINISTRATION OFFICE</b> The Administration Office will use monitoring inspections to verify the status of budget execution and, if necessary, it will verify budget execution with the Research Office and with the researchers by way of the Research Office.</p>
4-2	The institution will identify financial resources at the purchase order phase and make sure the status of budget execution can be ascertained without delay.	When placing orders for purchases made with research funds, the Research Office will confer with the Administration Office as needed to ensure that payments are made from the proper budget category.	<p><b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> The offices implemented duplicate inspections to ensure that payments were made from the proper budget categories. They also met regularly to share information regarding the proper use of funds.</p>	<p><b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> The offices will continue to implement duplicate inspections to ensure that payments are made from the proper budget categories. They will also meet regularly to share information regarding the proper use of funds.</p>
4-3	Given the fact that improper transactions tend to occur when a researcher has close ties to a vendor, the institution will enact measures to prevent collusion. To this end, the institution will formulate a policy to discipline vendors involved in impropriety by suspending their business dealings, and all members will be notified of this policy along with the institution's other policies and rules regarding measures to prevent misuse. Vendors must have a track record of transactions to some degree (e.g., frequency and amount of transactions), and they will be asked to submit a written pledge in consideration of the risk factors within the institution, and the effectiveness of the institution's risk management.	Measures were implemented under the existing administrative framework. No new measures were formulated in AY2018.	<p><b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> Trust-wide, the four research divisions of RU (Kinugasa RO, BKC RO, OIC RO, and the Office of Research Planning and Development) and the APU Research Office issued 77,900 purchase orders in AY2018. Excluding payees that were individuals, universities, public institutions, and subcontracting companies, we selected a total of 53 companies—namely, the top 50 companies to whom we issue payments and three companies to whom payments of at least ¥5 million were made. After a confirmation by the RU Division of Research and the APU Research Office, we requested these companies to submit pledges, and 49 of the 53 returned the pledges.</p>	<p><b>ADMINISTRATION OFFICE &amp; RESEARCH OFFICE</b> As with AY2019, Trust-wide, the four research divisions of RU (Kinugasa RO, BKC RO, OIC RO, and the Office of Research Planning and Development) and the APU Research Office will select companies based on purchase orders and ask them to submit pledges. Using the same selection methods as AY2019, we will select the top 50 companies to whom we issued payments and the companies to whom payments of at least ¥5 million per item were made, excluding payees that are individuals, universities, public institutions, and subcontracting companies as well as companies from whom written pledges were submitted in AY2018 and AY2019. We also plan to ask those companies that did not return written pledges in AY2018 and AY2019 to submit pledges. (*Out of the 106 companies asked to submit pledges (53 companies in AY2018, 53 companies in AY2019). 99 have done so.)</p>
4-4	As a general rule, the administrative arm of the institution will place orders and confirm their receipt, and the institution will develop and operate an effective checking system that does not involve the persons in charge of these tasks.	As a rule, the Research Office will place orders for goods and confirm their receipt. With regard to the confirmation of receipt, efforts will be taken to ensure that the Research Office checks the evidence, actual goods, and serial numbers.	<p><b>RESEARCH OFFICE</b> Excluding goods ordered by faculty in accordance with the Ritsumeikan Trust Regulations for the Administrative Handling of Contracts By-Laws, as a rule, the office placed orders for goods and confirmed their receipt. The office confirmed the receipt of all goods, including those ordered by faculty, by visually checking documentation, the goods themselves, and serial numbers. Furthermore, for goods purchased by faculty while conducting research overseas, the office checked these where possible, except in cases where consumables were used up, by obligating faculty to subject them to inspection upon returning to Japan.</p>	<p><b>RESEARCH OFFICE</b> Excluding goods ordered by faculty in accordance with the Ritsumeikan Trust Regulations for the Administrative Handling of Contracts By-Laws, as a rule, the office will place orders for goods and confirm their receipt. The office will ensure that the receipt of all goods, including those ordered by faculty, are confirmed by visually checking documentation, the goods themselves, and serial numbers. Furthermore, for goods purchased by faculty while conducting research overseas, the office will check these where possible, except in cases where consumables are used up, by obligating faculty to subject them to inspection upon returning to Japan.</p>
4-5	Clear rules will be formulated and applied, such as setting a certain upper limit on amounts when permitting researchers to place orders to ensure the effective and efficient performance of their research. In such cases, researchers will need to understand the authority and responsibilities presented in Item (iv) of "Precautions on Implementation" in Section 2, Paragraph (2).			
4-6	In the event that the confirmation of receipt for goods cannot easily be carried out by a person other than the one who placed the order, the confirmation of receipt process for some goods may be omitted as an exception. When this is done, taking the number of cases, potential risks, and other factors into consideration, the sampling method and ratio must be properly defined and regular ex post facto confirmations must be carried out.			

Important points are as follows

4-7	The confirmation of receipt for specialized services (e.g., the creation of databases, programs, and digital content or the maintenance and inspection of equipment) shall be carried out after stipulating clear and effective rules therefor.	During its monitoring inspections, the Administration Office will identify specialized services and inspect the documents pertaining thereto.	<b>ADMINISTRATION OFFICE</b> In the second half of AY2019, the Administration Office held several monitoring inspections. None of the samples selected during these inspections constituted specialized services. When necessary, it also confirmed the status of budget execution with the Research Office.	<b>ADMINISTRATION OFFICE</b> If any samples selected during the monitoring inspections constitute specialized services, the Administration Office will inspect documents and, if necessary, it will verify the situation with the Research Office and with the researchers by way of the Research Office.
4-8	As a rule, the administrative arm of the institution shall manage employment, including the confirmation of part-time employees' work attendance.	The work attendance of part-time employees will be confirmed at the counter when they submit their attendance sheets to the Research Office.	<b>RESEARCH OFFICE</b> The administrative arm of the institution confirmed the monthly work attendance of part-time employees at the counter when they submitted their attendance sheets to the Research Office.	<b>RESEARCH OFFICE</b> The administrative arm of the institution will manage attendance by confirming the monthly work attendance of part-time employees at the counter when they submit their attendance sheets to the Research Office.
4-9	Computers and other equipment that can be easily converted to cash will be appropriately managed.	The Research Office will create a ledger to manage equipment (e.g., computers and tablets) and supplies (i.e., goods with a service life of at least one year) that can be easily converted to cash.	<b>RESEARCH OFFICE</b> Goods (i.e., desktop, notebook, and tablet PCs worth less than ¥100,000) and supplies (i.e., items worth between ¥100,000 and ¥500,000 with a service life of at least one year) designated by the university as items that can be easily converted to cash will be registered in the accounting system managed with a ledger created by the Research Office. The office also distributed labels at the time of inspection of receipt and encouraged faculty to affix them to the goods.	<b>RESEARCH OFFICE</b> Goods (i.e., desktop, notebook, and tablet PCs worth less than ¥100,000) and supplies (i.e., items worth between ¥100,000 and ¥500,000 with a service life of at least one year) designated by the university as items that can be easily converted to cash will be registered in the accounting system managed with a ledger created by the Research Office. The office will also affix labels at the time of inspection of receipt.
4-10	A framework will be developed by which the administrative arm can ascertain and confirm the execution researchers' official trip plans.	Researchers must submit copies of tickets, receipts, and other documents required for the disbursement of travel expenses.	<b>RESEARCH OFFICE</b> As much as possible, the office met with faculty about travel expenses and requested the submission of proof of lodging or other documentation.	<b>RESEARCH OFFICE</b> As much as possible, the office will meet with faculty about travel expenses and request the submission of proof of lodging or other documentation.

#### Section 5: Promotion of information dissemination and sharing

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
5-1	The institution shall establish a counter to accept consultations from within and outside the institution regarding its rules for the usage of competitive research funds.	The Research Office will fulfill the role of consultation counter.	The Research Office continues to fulfill the role of consultation counter as it has in the past, so no action is necessary.	The Research Office continues to fulfill the role of consultation counter as it has in the past, so no action is necessary.
5-2	The institution will make public its policy regarding the handling of misuse of competitive research funds.	We will make the following public on the website: Ritsumeikan Asia Pacific University Research Ethics Guidelines, Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the Ritsumeikan Trust Confidential Informant Claim Processing Regulations.	We publicly released the i) Ritsumeikan Asia Pacific University Research Ethics Guidelines, the ii) Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the iii) Ritsumeikan Trust Confidential Informant Claim Processing Regulations on the website as an initiative for preventing the misuse of public research funds.	We will continue to publicly release the i) Ritsumeikan Asia Pacific University Research Ethics Guidelines, the ii) Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, and the iii) Ritsumeikan Trust Confidential Informant Claim Processing Regulations on the website as an initiative for preventing the misuse of public research funds.

**Season 6: Monitoring**

Category	Description of measures (Requirements for research institutions as outlined in the re	AY2018 Plan for Preventing the Misuse of Public Research Funds	Status of AY2019 Initiatives	AY2020 Plan for Preventing the Misuse of Public Research Funds
6-1	To ensure the proper management of competitive research funds, the institution will put in place and operate institution-wide systems for monitoring and auditing.	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> As the Trust-level department in charge of internal audits, the Office of Inspections and Auditing will conduct an audit corresponding to the revised Guidelines (covering budget execution for AY2018).</p> <p><b>ADMINISTRATION OFFICE</b> The Administration Office will put in place and operate a monitoring system.</p>	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> The office performed the following internal audits stipulated in Items (1) and (2) of Paragraph 1 of Article 39 of the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds. These audits covered budget execution for AY2018.</p> <p>1. Audits performed between May and October 2019 (1) Scope • MEXT Grant-in-Aid-funded projects • Ministry of Health, Labour and Welfare (MHLW) Grants (2) Type • Audit of the administrative framework of and status of activities undertaken by the office in charge of the Plan for Preventing the Misuse of Public Research Funds • Audits using focused sampling (document audit and risk-based audit)</p> <p><b>ADMINISTRATION OFFICE</b> Based on Article 40 of the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, we selected plural samples from Public Research Fund projects and audited the evidence related with budget.</p>	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> The office will perform the following internal audits stipulated in Items (1) and (2) of Paragraph 1 of Article 39 of the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds (hereinafter, “the RU Regulations”). These audits will cover budget execution for AY2019.</p> <p>1. Audits performed between April and July 2020 (1) Scope • MEXT Grant-in-Aid-funded projects • Ministry of Health, Labour and Welfare (MHLW) Grants • Japan Science and Technology Agency and Japan Science and Technology Agency projects (2) Type • Audit of the administrative framework of and status of activities undertaken by the office in charge of the Plan for Preventing the Misuse of Public Research Funds • Audits using focused sampling (document audit and risk-based audit)</p> <p><b>ADMINISTRATION OFFICE</b> Based on Article 40 of the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds, we will select plural samples from Public Research Fund projects and audit the evidence related with budget.</p>
6-2	The department in charge of internal audits will check a certain number of financial documents on a regular basis every year to make sure accounting documents fulfill the formal requirements in accordance with rules. It will also check the system used to manage competitive research funds for inadequacies.	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing will conduct audits to make sure budget execution complies with the university's rules and whether budget execution can be accounted for from the standpoint of auditing and inspections.</p>	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> 1. Financial Information Check (Document Audit) The office inspected documents and verified the status of budget execution. This audit revealed no items suspected of improper or inappropriate budget execution.</p> <p>2. Inspection for Inadequacies in the Management Framework We reviewed the Management Framework based on the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds.</p>	<p><b>OFFICE OF INSPECTIONS AND AUDITING</b> 1. Financial Information Check (Document Audit) The office will inspect documents and verify the status of budget execution.</p> <p>2. Inspection for Inadequacies in the Management Framework We will review the Management Framework based on the Ritsumeikan Asia Pacific University Regulations on the Management of Public Research Funds.</p>



6-3	In addition to its duties Section 6-2, the department in charge of internal audits will strengthen its cooperation with the office in charge of the Plan for Preventing the Misuse of Public Research Funds in Section 3, Item (2). Considering the “Precautions on Implementation” presented in Section 3, Item (1), Paragraph 3-1-1, it will conduct risk-based audits, including an unannounced audit of strategic samples, for the risk of impropriety, after having analyzed factors in line with the actual situation for the period in question.	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing will exchange opinions about factors contributing to the risk of misuse with the office in charge of the Plan for Preventing the Misuse of Public Research Funds.	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The office in charge of the Plan for Preventing the Misuse of Public Research Funds provided information on the results of the inspection of evidence. Furthermore, a risk-based audit was performed using the following methods presented in Section 6 of the revised guidelines and revealed no items suspected of improper or inappropriate budget execution. <ul style="list-style-type: none"> <li>• Confirm whether researchers stayed in their research destinations (places of accommodation)</li> <li>• Confirm the objective and overview of researchers’ official trips</li> <li>• Confirm the method used by researchers to manage part-time workers</li> <li>• Confirm the status of work management for part-time employees</li> <li>• Inspect physical property (e.g., goods that can be easily converted to cash)</li> <li>• Match receipts with vendor records</li> </ul>	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing will exchange opinions about factors contributing to the risk of misuse with the office in charge of the Plan for Preventing the Misuse of Public Research Funds. Furthermore, it will perform a risk-based audit using the following methods presented in Section 6 of the revised guidelines. <ul style="list-style-type: none"> <li>• Confirm whether researchers stayed in their research destinations (places of accommodation)</li> <li>• Confirm the objective and overview of researchers’ official trips</li> <li>• Confirm the method used by researchers to manage part-time workers</li> <li>• Confirm the status of work management for part-time employees</li> <li>• Inspect physical property (e.g., goods that can be easily converted to cash)</li> <li>• Match receipts with vendor records</li> </ul>
6-4	The department in charge of internal audits will function under the direct supervision of the chief administrative officer, and internal regulations delegating the necessary authority will be established.	Regulations have been established, so no action is necessary.	In the Internal Auditing Regulations, the Office of Inspections and Auditing is positioned as an organization that reports directly to the Chairman of the Board of Trustees. Therefore, in accordance with the Ritsumeikan Asia Pacific University Regulations for the Management of Public Research Funds, the results of the internal audit were forwarded to the chief administrative officer.	In the Internal Auditing Regulations, the Office of Inspections and Auditing is positioned as an organization that reports directly to the Chairman of the Board of Trustees. Therefore, in accordance with the Ritsumeikan Asia Pacific University Regulations for the Management of Public Research Funds, the results of the internal audit will be forwarded to the chief administrative officer.
6-5	The department in charge of internal audits will strengthen cooperation with auditors and the accounting auditors.	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing will exchange opinions regularly with the Auditor and the Certified Public Accountant in accordance with the Internal Auditing Regulations.	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing exchanged opinions regularly with the Auditor and the Certified Public Accountant in accordance with the Internal Auditing Regulations.	<b>OFFICE OF INSPECTIONS AND AUDITING</b> The Office of Inspections and Auditing will exchange opinions regularly with the Auditor and the Certified Public Accountant in accordance with the Internal Auditing Regulations.
6-6	The institution will cooperate with investigations listed in Section 7 (“Items to be implemented by MEXT”), Paragraph (1), Item (iii).	The institution will provide the necessary cooperation in accordance with the Revised Guidelines.	The institution provided the necessary cooperation in accordance with the Revised Guidelines.	The institution will provide the necessary cooperation in accordance with the Revised Guidelines.